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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/759,957	01/16/2004	Philip S. Langridge	069547.0184	8173

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EXAMINER
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ZECHER, MICHAEL R

ART UNIT	PAPER NUMBER
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3691

NOTIFICATION DATE	DELIVERY MODE
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08/20/2007

ELECTRONIC

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

Notice of the Office communication was sent electronically on above-indicated "Notification Date" to the following e-mail address(es):

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<b>Office Action Summary</b>	Application No. 10/759,957	Applicant(s) LANGRIDGE, PHILIP S.	
	Examiner Michael R. Zecher	Art Unit 3691	

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --**

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 16 January 2004.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-12 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-12 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 16 January 2004 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
     Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
     Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)            | 4) <input type="checkbox"/> Interview Summary (PTO-413)           |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)   | Paper No(s)/Mail Date. _____                                      |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date <u>6/28/2006, 3/8/2007</u> .                                     | 6) <input type="checkbox"/> Other: _____                          |

### DETAILED ACTION

1. The following is a non-final, first Office action on the merits. Claims 1-12 are pending.

#### ***Claim Rejections - 35 USC § 102***

2. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

3. **Claims 1, 3, 5, 7, 9, & 11** are rejected under 35 U.S.C. 102(b) as being anticipated by Martyn et al. (U.S. 6,195,647).

**As per claim 1**, Martyn et al. teaches a method for providing a customizable trading display of market instrument data comprises:

selecting a subset from a plurality of quadrants (See column 11, lines 43-44, which discusses displaying a selected portion of securities), each quadrant associated with one benchmark instrument (See figure 4, #4024, which illustrates the inside quote for a specific security), each benchmark instrument associated with one or more non-benchmark instruments (See figure 4, #4060, which illustrates information of offers and bids based on a specific security);

automatically retrieving market data for the instruments associated with each selected quadrant (See column 5, lines 51-56, which discuss receiving market data in real time); and

generating a customizable trading display (See column 1, lines 53-58, which discusses customizing a trading display), the display comprising the subset of quadrants and each quadrant presenting the associated market data (See column 11, lines 43-44, which discusses displaying every trade and quote update for all or a selected portion of all securities).

**As per claim 3**, Martyn et al. teaches exchanging one of the selected quadrants and a second one of the selected quadrants in the selectable layout in response to a user command (See column 7, lines 24-34, which discuss how a user selects a particular Dynamic Quote Setup window by using a Window list box).

**As per claim 5**, Martyn et al. teaches software for providing a customizable trading display of market instrument data (See column 4, lines 12-16, which discusses utilizing the NASDAQ Workstation II software system) comprises:

select a subset from a plurality of quadrants (See column 11, lines 43-44, which discusses displaying a selected portion of securities), each quadrant associated with one benchmark instrument (See figure 4, #4024, which illustrates the inside quote for a specific security) and at least one non-benchmark instrument (See figure 4, #4060, which illustrates a list of offers and bids), each non-benchmark instrument associated with the benchmark instrument (See figure 4, #4060, which illustrates information of offers and bids based on a specific security);

automatically retrieve market data for the instruments associated with each selected quadrant (See column 5, lines 51-56, which discuss receiving market data in real time); and

generate a customizable trading display (See column 1, lines 53-58, which discusses customizing a trading display), the display comprising the subset of quadrants and each quadrant presenting the associated market data (See column 11, lines 43-44, which discusses displaying every trade and quote update for all or a selected portion of all securities).

**Claim 7** recites equivalent limitations to claims 3 and is therefore rejected using the same art and rationale as set forth above.

**As per claim 9**, Martyn et al. teaches a trading system for providing a customizable trading display of market instrument data comprises:

a central repository operable to store a plurality of market data (See figure 1, #129, which illustrates a securities database, user database, trade database, market database, and system display database); and

a trading client (See title) comprising:

memory operable to store a plurality of quadrants (See figure 1, #150, which illustrates a processing unit/memory), each quadrant associated with one benchmark instrument (See figure 4, #4024, which illustrates the inside quote for a specific security) and at least one non-benchmark instrument (See figure 4, #4060, which illustrates a list of offers and bids), each non-benchmark instrument associated with the benchmark instrument (See figure 4, #4060, which illustrates information of offers and bids based on a specific security); and

one or more processors operable (See figure 1, which illustrates a central computer and several work stations) to:

select a subset from the plurality of quadrants (See column 11, lines 43-44, which discusses displaying a selected portion of securities);

automatically retrieve at least a portion of the plurality of market data for the instruments associated with each selected quadrant (See column 5, lines 51-56, which discuss receiving market data in real time); and

generate a customizable trading display (See column 1, lines 53-58, which discusses customizing a trading display), the display comprising the subset of quadrants in a selectable layout and each quadrant presenting the associated market data (See column 11, lines 43-44, which discusses displaying every trade and quote update for all or a selected portion of all securities).

**Claim 11** recites equivalent limitations to claims 3 and is therefore rejected using the same art and rationale as set forth above.

***Claim Rejections - 35 USC § 103***

4. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

5. **Claims 2, 4, 6, 8, 10, & 12** are rejected under 35 U.S.C. 103(a) as being unpatentable over Martyn et al. (U.S. 6,195,647), further in view of Ram et al. (U.S. 2006/0069635).

**As per claim 2**, Martyn et al. discloses a method, system, and software for providing a customizable trading display of market instrument data (See abstract).

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Martyn et al. does not expressly disclose the selectable layout selected from the group consisting of:

1 x 6;

2 x 3;

3 x 2; or

6 x 1.

Ram et al. discloses a method, software, and system for buying and selling financial securities, durable goods, and other items using an interface configured according to a user's preference (See abstract).

Both Martyn et al. and Ram et al. discloses methods, systems, and respective software for buying and selling securities. Ram et al. discloses selectable layouts with the following dimensions: 1 x 6 (See figure 76 and paragraph 508, which illustrates and discusses displaying security data in a 1 x 4 layout; and, furthermore, how settings and criteria may be pre-defined. A user could provide settings and criteria for a 1 x 6 configuration), 2 x 3 (See figure 68, which illustrates displaying security data in a 2 x 3 layout), 3 x 2 (See paragraph 508, which discusses how settings and criteria may be pre-defined. A user could provide settings and criteria for a 3 x 2 layout), and 6 x 1 (See figure 76 and paragraph 510, which illustrates and discusses displaying security data in a 1 x 4 layout; and, furthermore, how settings and criteria may be pre-defined. A user could provide settings and criteria for a 6 x 1 configuration). Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to modify Martyn et al. to include dimensional layouts consisting of 1 x 6, 2 x 3, 3 x 2,

and 6 x 1 as taught by Ram et al. in order to combine a customized trading display with various pre-defined layouts that would allow a user to select a preference.

**As per claim 4**, Martyn et al. does not expressly disclose the customizable trading display comprising one or more dynamically-selectable administrator options, each option selected from the group consisting of:

- restricting movement of quadrants;
- restricting resizing of the trading display;
- minimum height of each quadrant; or
- restricting at least one of the selectable layouts.

Ram et al. discloses restricting the configuration of tables (See paragraph 546, which discusses how all tables may be purposely restricted according to pre-defined configurations); restricting or limiting the table output (See paragraphs 363 & 694, which discuss resizing behavior in a Microsoft windows application and restricting the size of a table according to a limited number of securities or security categories), controlling the height of each table (See paragraph 802, which discusses the configuration or settings of a graphical table interface including size and formatting of the table); and a display setting tab to restrict layouts (See paragraph 304, which discusses a Display Setting tab page that allows a user to restrict size of particular layouts). Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to modify Martyn et al. to include restricting movements of quadrants, restricting resizing of trading displays, minimum height of each quadrant, and restricting at least one of the



selectable layouts in order to use the known technique of pre-defined movement, size, and display within the context of a computer to provide customized user preferences.

**Claims 6 & 10** recite equivalent limitations to claim 2 and are therefore rejected using the same art and rationale as set forth above.

**Claims 8 & 12** recite equivalent limitations to claim 4 and are therefore rejected using the same art and rationale as set forth above.

### ***Conclusion***

6. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

Brumfield et al. (U.S. 2006/0271475) discloses a system and method for group positioning of market information in a graphical user interface.

Brumfield et al. (U.S. 2006/0265304) discloses a system and method for group positioning of market information in a graphical user interface.

Ram et al. (U.S. 2003/0009411) discloses interactive grid-based graphical trading system for real time security trading.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Michael R. Zecher whose telephone number is 571-270-3032. The examiner can normally be reached on M-F 7:30-5:00 alt. Fridays off.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Alexander Kalinowski can be reached on 571-272-6771. The fax phone

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number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

MRZ



Stefanos Karmis